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ABSTRACT

The Iowa Educational Excellence Act and its amendments provide for four types of Phase III programs: performance-based pay, supplemental pay, a combination of both, or comprehensive school transformation. In 1993, the Des Moines Phase III program, which originated as a combination of performance-based pay and supplemental pay, changed to a comprehensive school-transformation program. The first 6 years emphasized the enhancement of organizational development through professional-development programs for teachers. Since 1993, the Des Moines program has focused on building the capacity of both professional staff and the school organization to better meet students' needs. This document describes the history of the Des Moines program, its objectives, current activities, process evaluation, and product evaluation. Phase III programs focus on school improvement through school-based management and shared decision making. Phase III revenues support the use of research in planning efforts; training that builds professional and organizational capacity; evaluation techniques to determine program quality; and collaboration with diverse groups of stakeholders. Seven tables and four graphs are included. (LMI)

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DES MOINES INDEPENDENT COMMUNITY SCHOOL DISTRICT

Comprehensive School Transformation

Phase III

PROGRAM EVALUATION

October 4, 1994

Dr. Donald Prine, Director of Operations Management
Mr. David Wilkinson, Phase III Coordinator

U.S. DEPARTMENT OF EDUCATION
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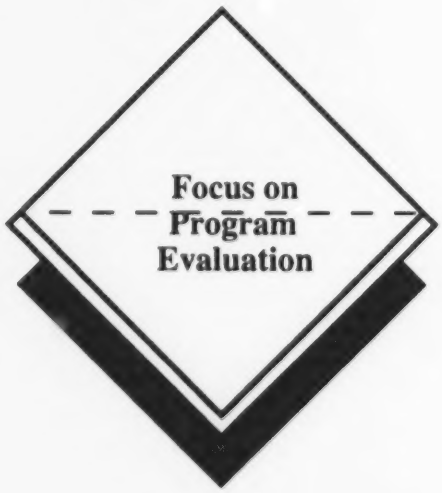

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EVALUATION ABSTRACT

Context

The Iowa Educational Excellence Act was passed in 1987 and provided for three types of Phase III programs: performance-based pay, supplemental pay, or a combination of both. In 1989, amendments to the act created a fourth option - comprehensive school transformation programs.

Although the Des Moines Phase III program originated as a combination of performance-based pay and supplemental pay, it has always been more than just a program for additional salary. The plan has supported professional growth and development for both individuals and the organization. It has always focused on the importance of student learning by enhancing organizational development through special group and individual projects, by developing teachers' leadership skills, and by providing a variety of methods for professional growth. In 1993, the focus of the program was modified to place more emphasis on the school rather than the individual as the Phase III program instituted a comprehensive school transformation program.

Input

The Iowa Department of Education is the source of all Phase III revenue for the district. This revenue is determined through legislative action and has been significantly reduced since 1987. The first year's revenue was $2,664,196 while the expected revenue for 1994-95 is $1,641,100.

Process

The current Phase III efforts focus on the district initiative of school improvement using School-Based Management through Shared Decision Making. Phase III has supported the writing of school improvement plans by all schools and the training of principals and teachers from each school to serve as school improvement facilitators. Nearly half of the Phase III funds have been directly allocated to schools for their use to support the development and implementation of school improvement plans.

During 1994-95, Accountability Teams of district stakeholders will visit schools and discuss their school improvement plans and the processes for development. The teams are designed to serve as formative observers to allow schools to reflect on their practices and increase their effectiveness.

Product

Phase III contributes to the district mission by supporting efforts to improve teaching for learning, resulting in increased student success. Phase III supports the use of: research, theory and expert opinion in planning efforts; planning based on the school database; training that builds professional and organization capacity; evaluation techniques to determine program quality; and collaboration with diverse groups of stakeholders. A survey of staff last spring shows strong support for the school improvement process and shared decision making. Staff members examined and improved their own professional practice as a result of participation in school improvement planning.

Future Needs

Phase III will continue in a role of research and development for the areas of professional and organization capacity building. The program will bring together district and association leadership in planning this capacity building. It will have the full support of district staff and will provide beneficial experiences to staff.

Phase III should:

- continue to focus on school improvement/transformation.
- continue to expect its leadership groups to practice the concepts of shared decision making and deepen its understanding of the principles of a learning community.
- continue to be integrated and supportive of district initiatives.
- continue to investigate and research best practices in the area of school improvement.
- support district efforts to share stories of success.
- develop a thorough evaluation of its efforts.

There is no additional cost for these needs as they can be accomplished by the rearrangement of Phase III funds.

A copy of the complete report is available upon request from the Department of Information Management, Des Moines Public Schools, 1800 Grand Avenue, Des Moines, IA 50309-3399, Telephone: 515/242-7839.

PHASE III

Dr. Raymond Armstrong, Associate Superintendent for Teaching and Learning

Dr. Earl Bridgewater, Associate Superintendent for Management Services

Dr. Donald Prine, Director for Operations Management

Mr. David Wilkinson, Phase III Coordinator

Ms. Judy Clinton, Secretary

Ms. Preshia Mills, Secretary

DES MOINES INDEPENDENT COMMUNITY SCHOOL DISTRICT
Des Moines, Iowa 50309-3399

October 4, 1994

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DISTRICT MISSION STATEMENT

The Des Moines Independent Community School District will provide a quality educational program to a diverse community of students where all are expected to learn.

PHASE III RESPONSIBILITY STATEMENT

The purpose of the Phase III program is to benefit students and the Des Moines community by promoting teacher excellence through the development of a voluntary incentive compensation plan which rewards teachers for quality performance, professional growth, and school/district service.

CONTEXT EVALUATION

Overview of Phase III

Brief Historical Background

The Iowa Educational Excellence Act was passed in 1987 and provided for three types of Phase III plans: performance-based pay, supplemental pay, or a combination of both. In 1989, amendments to the act created a fourth option - comprehensive school transformation programs.

The district's Phase III program has always been more than just a program for additional salary.

Although the Des Moines Phase III program originated as a combination plan of performance-based pay and supplemental pay, it has always been more than just a program for additional salary. The program has supported professional growth and development for both individuals and the organization. It has always focused on the importance of student learning by enhancing organizational development through special group and individual projects, by developing teachers' leadership skills, and by providing a variety of methods for professional growth. Recently, the focus of the program has been modified to place more emphasis on the school rather than the individual.

The Phase III program was developed and implemented collaboratively.

The Phase III program has been developed and implemented in a collaborative manner involving concepts of shared decision making. District administrators and representatives of the Des Moines Education Association collaboratively have contributed to all aspects of the planning and the implementation of the program.

Philosophy of Phase III

America has been involved in a great debate regarding the future of schools and education.

During the last several years, America has been involved in a great debate regarding the future of schools and education in our nation. Concern and dissatisfaction with our educational system have been voiced by business, government, parent, and community leaders. In recognition of these problems, A Nation at Risk (April, 1983), published by the National Commission on Excellence in Education urged that, "Salaries for the teaching profession should be increased and should be professionally competitive, market sensitive, and performance-based."

Motivating talented individuals to enter and remain in the teaching profession is essential if we are to attain excellence in education. Rewarding career teachers and motivating them to

continually improve instructional practices has long been an area of interest to the public, to the professional educator and to researchers in school personnel management.

Phase III's goal is to enhance the quality, effectiveness, and performance of Iowa's teachers.

The goal of Phase III is to enhance the quality, effectiveness, and performance of Iowa's teachers by promoting teacher excellence. Research on effective schools, where all students learn, finds the schools encourage professional dialogue and collaboration among the staff and community. In effective schools, teaching is encouraged as a collaborative enterprise where analysis, evaluation, and experimentation establish an environment in which all teachers may work to their maximum potential.

Management research indicates that factors other than money serve as effective motivators to provide instructional excellence. Some theories conclude that the factors that serve as motivators or satisfiers are associated with work content and include opportunities for achievement, recognition, assumption of responsibility, advancement, and an intrinsic interest in the work itself. Teachers report that the most rewarding characteristics associated with their profession are the opportunities to impart learning to students.

Teacher excellence is fundamental to increasing student learning.

Teacher excellence is a fundamental prerequisite to accomplish a school's mission of promoting student learning. Although many theories of learning exist, no one knows precisely how learning takes place. Educators do know, however, that in a school, learning takes place as a result of the interaction between teacher and student.

The Phase III program provides financial incentives and rewards for participation in meaningful professional activities and the acceptance of professional responsibility. The program enhances this interaction by strengthening the quality, effectiveness, and performance of Iowa's teachers.

Research and Theory: Basis for Phase III Plan

A variety of educational researchers, theorists, and writers have identified approaches that support or are compatible with comprehensive school transformation. Roland S. Barth (Kappan, October 1991) said, ". . . the most important change to bring to the schoolhouse is a culture of continuous adaptability, experimentation, and invention." He also indicated that the most useful and persuasive logic for a school's restructuring effort is one developed, articulated, and refined continuously by the school.

Culture of continuous adaptability, experimentation, and invention

Carl D. Glickman and others have identified the need for a staff development plan that extends over many years to assist schools in becoming empowered. Glickman (Educational Leadership, September 1992) also states the need for a "super vision" of teaching and learning that encompasses a set of principles that can serve as a covenant among the school staff. He also indicates the staff needs to determine the decision-making process to be used.

The need for a restructured school to develop and articulate a set of well-defined goals to meet the needs of students and society in general is identified by Kenneth A. Tyle (Kappan, September 1991). He advocates decentralized decision-making and emphasizes the need for time for meeting and joint work.

Michael G. Fullan and Matthew B. Miles (Kappan, June 1992) describe several propositions for success. They state that change is a "guided journey, not a blueprint," problems are our friends since we cannot develop effective responses without real situations, and that change is best carried out by "cross-role groups."

We cannot develop effective responses without real situations.

Robert Kessler (Educational Leadership, September 1992) identifies several aspects of team agreements which can guide transformation efforts. The aspects are: operate by consensus, respect each other's styles, speak honestly, and advocate team decisions to our constituencies.

Several aspects of team agreements

Sarah D. Caldwell and Fred H. Wood (Journal of Staff Development, Spring 1992) along with Bath, Glickman, Tyle, and Kessler emphasize the importance of training and team development for success and site-based shared decision-making. Caldwell and Wood believe training should sharpen skills in: group process, team building, problem solving, the change process, site-based improvement, and decision-making.

Scholars emphasize the importance of training and team development for success.

In The Iowa Initiative for World-Class Schools Final Report of the Iowa Business and Education Roundtable (December 1990) it states that "Iowa's system" of education needs to be revamped to fit the expectations and needs of teachers, students, and society."

Among the guiding principles which the Roundtable says must guide the transformation of Iowa schools into the world-class schools of tomorrow are:

> Staff in individual schools must have the authority to make decisions affecting student achievement and must be accountable for results. Holding schools accountable for results means giving schools authority to decide how to achieve those results. Decisions affecting instruction should be made by staff members as close to the student as possible. Such decisions could include personnel selection, budget, curriculum, instructional practices, scheduling and disciplinary practices. Site-based management and shared-decision making must replace the current more authoritarian systems of managing education.

Staff must have the authority to make decisions affecting student achievement and must be accountable for results.

> Educators must have the training, knowledge, and leadership skills to help students succeed. Placing new, higher expectations on schools mean that Iowa must equip its teachers and administrators with new skills to make results happen. Skillful and inspirational leadership at all levels will be essential in the new system.

Educators must have training, knowledge, and leadership skills to help students succeed.

The report of the Task Force on Teaching as a Profession of the Carnegie Forum on Education and Economy entitled, "A Nation Prepared: Teachers for the 21st Century" (1986) called for restructuring of the teaching professional and schools. The report said:

The key to success lies in creating a profession equal to the task.

In this pursuit of excellence, however, Americans have not yet fully recognized two essential truths: 1) that success depends on achieving far more demanding educational standards than we ever attempted to reach before; and 2) that the key to success lies in creating a profession equal to the task, a profession of well-educated teachers prepared to assume new powers and responsibilities to redesign schools for the future. Without a profession possessed of high skills, capabilities, and aspirations, any reforms will be short lived. To build such a profession — to restore the nation's cutting edge — the Task Force calls for sweeping changes in education policy to restructure schools to provide a professional environment for teaching, freeing them to decide how best to meet state and local goals for children while holding them accountable for student progress.

If our standard of living is to be maintained, if the growth of a permanent underclass is to be averted, if democracy is to function effectively into the next century, our schools must graduate the vast majority of their students with achievement levels long thought possible for only the privileged few. The American mass education system, designed in the early part of the century for a mass-production economy, will not succeed unless it not only raises but redefines the essential standards of excellence and strives to make quality and equality of opportunity compatible with each other.

These research findings, along with others and sound theory, serve as the basis for the comprehensive school transformation efforts of the Phase III program.

School transformations can be hastened by shared decision-making.

The transformation of schools can be hastened and supported by the use of processes that support management at the school site and shared decision-making. The district's *Framework for Effective Schools* serves as the basis for additional Effective Schools/Teaching staff development courses and as the focus of school improvement efforts.

SBM/SDM Demonstration Project

A School-Based Management through Shared Decision Making (SBM/SDM) Demonstration Project was implemented from the fall of 1991 through the end of 1993. The project involved eight schools - Callanan, Garton, Lucas, Phillips, Roosevelt, Studebaker, Van Meter, and Wallace.

Each school selected staff members who, along with the principal, received extensive training as a school improvement facilitator. The facilitators provided leadership to a school improvement team that wrote a school improvement plan for the school. The plan was ultimately reviewed and approved by the staff and the School-Based Council.

The Phase III program provided leadership and funds to support the project. Funds were used to support the training and $75.00 per staff member in additional Phase III decentralized funds available to the school.

Lessons and insights gained from this project have been utilized in the development of a comprehensive school transformation approach for Phase III in the district.

Iowa Department of Education Rules and Regulations

The legislation and the regulations (1987) of the Iowa Department of Education require that Phase III funds or programs:

- do not supplant existing programs or expenditures.
- do not employ additional employees of a school district, except that Phase III moneys may be used to employ substitute teachers, part-time teachers, and other employees needed to implement plans that provide innovative staffing patterns or require that a teacher employed on a full-time basis be absent from the classroom for specified periods for fulfilling other instructional duties.
- are not used for pay earned by a teacher for performance of additional non-instructional duties.
- are used only to pay wages or support the professional growth of "teachers" under contract to the district.

Phase III Terminology

Comprehensive School Transformation Plan

As defined in Iowa Code, a comprehensive school transformation plan "*. . . shall include, but is not limited to, providing salary increases to teachers who implement site-based decision-making, building-based goal-oriented compensation mechanisms, or approved innovative educational programs, who focus on student outcomes, who direct accountability for student achievement, accountability for organizations' success, and who work to expand community or business relationships. It is further the intent of the general assembly that real and fundamental change in the education system must emerge from the school site if the education system is to remain relevant and that plans funded in this program must be an integral part of a comprehensive school district or area education agency effort toward meeting identified district or agency goals or needs.*"

Comprehensive School Transformation definition

Frameworks

The Phase III program has continued to involve staff on task forces to develop specific frameworks for use in the creation of a common vocabulary and in the selection and development of Staff Development Courses for Effective Schools. The program has created the *Framework for Effective Teaching, Framework for Effective Support Services,* and the *Framework for Effective Schools.* Each framework serves as a vision of the ideal professional practices and an aid in the development of a common language.

A synthesis of current research, sound theory and expert opinion.

All of the frameworks have identified professional behaviors, practices, and qualities that enhance student success based on research, theory, and/or expert opinion and provide the district with an intellectual guide for professional improvement efforts.

The *Framework for Effective Teaching* focuses on instructional techniques and the *Framework for Effective Support Services* focuses on actions used by professional support staff members such as counselors, social workers, psychologists, nurses, and others. Both Frameworks are used in the identification of the 13 Staff Development Courses for Effective Schools.

The *Framework for Effective Schools* is a synthesis of current research, sound theory and expert opinion that identifies and describes the structure, organization and components of effective schools. This Framework serves as a guide for school improvement efforts and provides a sense of common purpose, enhance communication efforts or systems and can serve as a guide for staff development, both in schools and in the district.

Teachers

In general, in Phase III the term "teachers" refers to certificated, non-administrative staff members such as classroom teachers, consultants, most nurses, counselors, social workers, psychologists, librarians, speech pathologists, occupational therapists and physical therapists.

Capacity-Building

Capacity is a term that describes the full potential of an organization and the full potential of staff. Capacity-building refers to development or growth of professional staff members and the ability of the organization to be effective.

Full potential

Current Goals and Objectives

The goals for the Phase III program activities are:

- To support comprehensive school transformation.
- To increase student learning and success.
- To evaluate the qualities and effectiveness of various aspects of this program.

Program Description

Integration of Phase III and other initiatives

Phase III has occasionally been perceived as a program separate from other district activities. During the past several years, Phase III leadership has worked to integrate Phase III actions with other district initiatives, reducing any duplication and enhancing effectiveness. The integration of Phase III program is described below.

School Improvement Planning

The following is a vision statement written by a Phase III Developmental Team exploring SBM/SDM. The statement provides a description of an ideal school improvement process using the elements of SBM/SDM.

Vision of School Improvement Using SBM/SDM

> *School-Based Management through Shared Decision-Making reflects a shared mission for school improvement. This is achieved through collaborative process supported by open and honest communication. Decisions are made in a climate of trust and mutual respect. Members of this student-centered community hold high expectations that all students will learn. Stakeholders participate in and are held accountable for the planning, implementation, and evaluation of programs that support effective, equitable, and efficient education for all students.*

School Improvement Plan

Central to the heart of district's improvement efforts

Phase III places its resources directly in support of school improvement efforts of the district. Central to the heart of the district's improvement efforts is development by each school of a comprehensive school improvement plan to which the entire staff and community are committed. From this point on, the school improvement plan will be referred to as the "SIP."

Student success, as defined by research, theory, and expert opinion in documents such as the Frameworks, should be focus of all activities in a SIP.

The focus of Phase III efforts, in 1993-94, was on the development of a long-range SIP. The focus in 1994-95 is on the initial implementation of the SIP and on making minor revisions as needed.

Bold visions and measurable school improvement plans

Training was provided for the principal and staff members from each school in school improvement facilitation of a long-range, systemic plan for student success as indicated by specific outcomes. Schools were encouraged to identify bold visions and measurable plans based on the Frameworks. Schools moving toward real comprehensive improvement may risk success in full achievement of the SIP; responsible risk taking and the lessons learned will not be penalized.

Sections of the plan

Each SIP is based on the *Framework for Effective Schools*, and includes the following brief and concise sections:

- District and School Mission Statement
- School Resources
- Shared Vision for the School
- Belief Statements
- School Demographics (including significant trends)
- *Effective School* Information
- Recent School Improvement Information
- Implementing the Vision
- Appendix

It is expected that each plan will be complete and be strongly supported by the principal, staff, School-Based Council, and community. The plan will be implemented in 1994 through 1997 and be revised as needed on an annual basis.

School Improvement Funds

Equitable distribution of funds.

As part of the new Phase III program, a significant portion (45%) of the funds are assigned to schools as school improvement funds. These funds are used to support development and implementation of plans. The funds are distributed to schools in an equitable manner.

School Improvement Facilitation Training

The skills of a facilitator are different from those of a manager.

Developing and implementing successful comprehensive school improvement plans using the process of school-based management through shared decision-making requires specific leadership and facilitation skills. The skills of a facilitator are different from those of a manager. The Department of Staff Development and the Phase III office jointly developed School Improvement Facilitation Training.

The initial number of facilitators per school is the principal plus:

- 2 for elementary schools
- 3 for elementary schools (over 500 students)
- 3 for middle schools
- 4 for high schools
- 5 for East and Lincoln

Facilitator roles and qualities

The recommended roles, functions, and responsibilities of facilitators are:

1) Provide leadership in the school transformation process by:

- commitment to transformation process
- available for a three-year commitment

2) Leadership qualities of facilitators include:

- good communicator with diverse groups of adults (a good listener, solicits diverse opinions and viewpoints, everyone is important, able to draw in others, uses various ways to communicate)
- flexibility
- enthusiasm
- good judgment
- open to change
- positive attitude
- self-confidence
- some degree of assertiveness
- staff respect
- organizational skills

Accountability Teams

Provide formative feedback

As part of the school improvement process, each school will have an accountability team that visits the school and provides formative feedback on the school improvement process. Accountability teams were utilized in the SBM/SDM Demonstration Project and will be implemented district wide in 1994-95.

The purpose of the teams is to provide formative feedback to the school and encourage professional dialogue by district stakeholders about effective schools and the school improvement process.

Complementary Phase III Initiatives

To support the development of professional and organizational capacity, the Phase III program financially supports several related initiatives.

Staff Development Courses for Effective Schools

Currently the Department of Staff Development offers the following *Effective Schools* Courses:

- Higher Order Thinking Skills (HOTS)
- Gender/Ethnic Expectations and Student Achievement (GESA)
- Classroom Organization for a Positive Environment (COPE)
- Strategies Utilizing Collaborative Consultation Skills for *Effective Support* Services
- Cooperative Learning I
- Cooperative Learning II
- Youth at Risk
- Creating a Responsive Environment (CARE)
- *Effective Schools*
- Assessment Strategies for Skilled Evaluation of Student Success (ASSESS)
- Learning Styles I
- Learning Styles II
- Safety in Our Schools (SOS)

Incentive Payments

A staff member who completes a Staff Development Course for *Effective Schools* may earn a $250 incentive payment by completing a course implementation plan.

Current Demonstration and Developmental Activities - In Process

Additional Support for School Improvement Facilitation

Several sessions have been scheduled for the school year as follow up to the Garmston/Wellman training provided in August. Each of these sessions is from one-half day to a full day in length. These are listed in the Staff Development In-Service Catalogue and the specific sessions include:

- Action Research by Dr. Peter Holly
- Facilitation Skills I, II, III, IV
- Finding Time
- Communication Strategies

School Improvement/Transformation Resource Book

Interdependence within the district

Presently being developed is a booklet that relates the strategic planning process, mission statement, beliefs, vision, and district improvement targets to school improvement planning. The booklet will chronicle all of these related district initiatives and show the interdependence when using the best of "top-down and bottom-up" management strategies.

School Financial Procedures Packet

Also being developed is a set of materials that explains administrative procedures for the use and payment of Phase III, decentralized staff development, and professional leave funds.

Revised Framework for Effective Teaching

A task force will be formed to review the original Framework for Effective Teaching and make recommendations for necessary revisions.

Demonstration Project Related to Effective Staff Development Practices for Technology and Other Needs

Integrate technology into professional development

Technology has the potential to significantly alter teaching. This project will support efforts by the Staff Development Department to research, build, and implement additional instructional practices utilizing various technologies.

Demonstration Project for Peer Coaching

Coaching by another staff member has been shown to be a very effective professional development technique. This project will support the development of cognitive concepts of coaching.

Induction of New Staff

The district has utilized a variety of induction programs for new staff over the years. This project would focus on developing strategies to supplement current efforts to acquaint staff with the frameworks and the school improvement process.

Evaluation Design to Determine Degree this Program Contributes to Student Success

Objective measures to determine program effectiveness

It is essential that educational research be conducted and programs be evaluated to determine if their actions positively affect student learning and success. This is challenging, but important. An evaluation design for the school improvement process will be completed this year and implemented.

Current Program Leadership

One important technique to assist in implementation of the program is to provide opportunities for leadership and review of program plans at all stages. Program activities and budget have been collaboratively developed by members of the Phase III Advisory Council and Phase III Administrative Advisors.

Phase III Advisory Council

The Phase III Advisory Council, consisting of five administrators, five members of the Des Moines Education Association and chaired by the Phase III Coordinator, provides advice and counsel to the two associate superintendents regarding development and implementation of the program. The purposes of the council are to:

- enhance communication among teachers, central office administrators and building administrators.
- review and assess Phase III activities.
- identify issues.
- assist in the resolution of the issues.

Phase III Administrative Advisors.

The Phase III Administrative Advisors was established to review Phase III processes and provide recommendations to the two associate superintendents. They meet monthly with the Phase III Coordinator to discuss various issues.

Restructure Phase III Leadership

The Advisory Council is currently reviewing its membership and role to determine if it should be restructured for increased success.

Comprehensive Agreement

Portions of the comprehensive agreement between the district and the Des Moines Education Association that relate to Phase III are listed in Article XXIII: Phase III.

Article XXIII: Phase III

A. Eligibility and Participation

The process for creating the plan is encouraged to be collaborative

All certificated staff members will actively participate in Comprehensive School Transformation. The process for creating the School Improvement Plan determining the use of Phase III funds allocated to schools in Phase III funded activities is encouraged to be developed collaboratively through the School-Based Management through Shared Decision Making process.

B. Supplemental Pay for Phase III Opportunities

An employee who participates in Phase III opportunities will be paid on the schedule of Phase III Opportunities as set forth in Appendix 3 which is attached hereto and incorporated into this Agreement. As a condition for receipt of compensation for Phase III Opportunities, an employee shall be expected to provide service necessary to fulfill all responsibilities associated with the Phase III opportunity.

C. Phase III Appeal Process

An employee denied Phase III funds may appeal that denial.

1. Within ten working days of the denial, the employee will contact the administrator who denied the funds and informally initiate the appeal.

2. If denied, within ten working days after that informal contact, the employee may file a written appeal with the Associate Superintendent who supervises the administrator who originally denied the funds. The Associate Superintendent has ten working days to hold a conference with the employee and must render a final decision in writing within five working days.

D. The Association shall appoint at least one-half of Phase III committee members.

Appendix 3: 1994-95 Extended Career Opportunities

District Phase III Coordinator	$2,000/yr
Phase III Staff Development Consultant	$2,000/yr
Staff Development Instructor	$450/course
Incentive Payment for Successful Completion of Effective Teaching Courses	$250/yr *
Performance Stipend as Defined in Comprehensive School Transformation Plan In lieu of wages, performance stipend can be taken for conference, tuition, or travel	$300/yr
Hourly rate for Participation in Phase III Activities	$16/hr

* Successful completion of Effective Teaching courses refers to attending 15 hours of instruction and completion of an approved classroom application plan. The $250 stipend will be reduced proportionally for any absences.

INPUT EVALUATION

Sources of Revenue

All funding for the Phase III program is received from the Iowa Department of Education. Direct funds are limited in use by statute and up to 50% may be carried forward to the following year. Indirect funds are used to support those elements of the program that cannot be supported by direct funds, with the balance returning to the district's general funding. No general budget funds are used to support the program.

Phase III funding is based on a dollar rate per student.

Phase III funding from the state is based on a dollar rate per student for all students in the district. Most of the funds come directly to the district from the Iowa Department of Education, but some funds do flow to the district from Heartland Area Education Agency. The rate of funds per student is determined at the state level by dividing the total funds available by the total number of students. Priority is given to funding all portions of Phase I and II of the Iowa Educational Excellence Program with the remaining funds supporting Phase III. The Phase III program has never been fully funded as proposed in the legislation.

Starting in 1990-91, Phase III funding was to be increased by the amount of allowable growth on an annual basis. However, the funding received has been less than the allowable growth and was significantly reduced for 1993-94 and 1994-95.

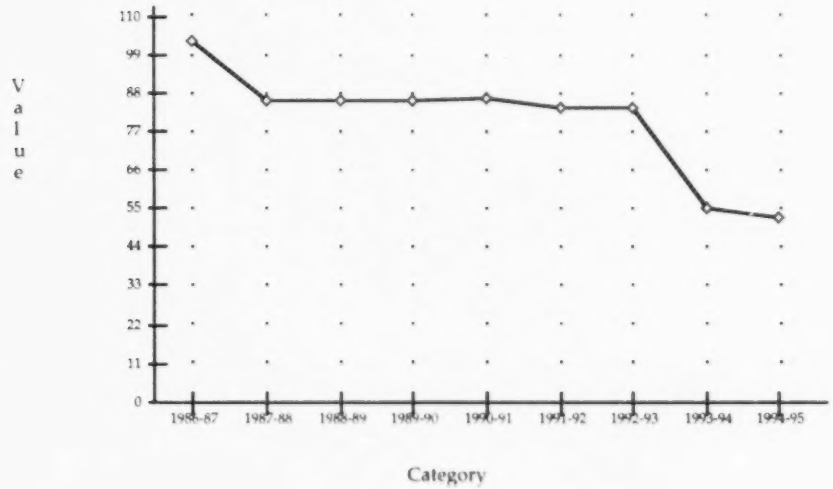
TABLE 1 — District and AEA Rates to Provide Phase III Funding

Year	District Rate per Student	AEA Rate per Student	Number of Students	Gain or (Loss) from Other Districts	Total Funds Received
Original Legislation	$98.63	$4.60	30,644	N/A	$3,163,380
1987-1988	$82.66	$3.85	30,644	13,184	$2,664,196
1988-1989	$82.66	$3.85	30,644	10,911	$2,661,923
1989-1990	$82.66	$3.85	30,644	12,068	$2,663,080
1990-1991	$83.24	$3.89	30,143	13,425	$2,639,785
1991-1992*	$80.61	$3.62	30,295	(8,417)	$2,543,331
1992-1993	$80.61	$3.62	30,998	22,864	$2,633,826
1993-1994	$53.16	$2.42	31,756	(7,603)	$1,757,395
1994-1995**	$50.42	$2.36	31,349	(13,500)	$1,641,100

* The Phase III funding rate was determined by adding the state allowable growth rate and then applying the 3.25% across the board reduction for Phases I, II, and III. State statutes requires that deductions for all three phases came from Phase III funds.
** Estimate for gain or loss to other districts.

The graph below illustrates the decrease in funding rates over the last nine years. Values indicate the combined rates per student of the district and the AEA.

GRAPH 1 — Combined Revenue Rates Per Student of the District and the AEA to Provide Phase III Funding 1986 - 1995
(1986-1987 represents the funding targets in the original legislation)



The original Phase III plan for the district was approved on January 15, 1988 with funding retroactive to July 1, 1987. All funds for 1987-88 and 1988-89 were to be spent or allocated by June 30, 1989. Any unspent funds would revert to the State of Iowa. In the Spring of 1989, legislation was adopted that allowed plans including a performance-based pay component to carry forward up to 50 percent of the funds received that year.

Phase III Budget for 1994-95

The Phase III budget for 1994-95 contained in the original application to the Iowa Department of Education has been modified by the addition of carryover funds. Some of the carryover funds are to support activities approved in 1993-94, but not paid until 1994-95, and others reflect underspending in certain program areas.

Although some districts have been criticized for spending their Phase III funds without a focus or clear purpose, the Des Moines Public Schools have directed Phase III funds toward responsible programs based on research, theory, and expert opinion. This responsible programming sometimes contributes to funds being carried over to the next year.

TABLE 2 — Phase III Revenue for 1994-95

State Funding	$1,560,490
AEA Funding	76,880
Carryover from 1993-94*	547,180
Total	$2,184,550

*Carryover is based on estimates prior to completion of the final report to the Iowa Department of Education.

The pie graph below illustrates the contributions of the funding sources.

GRAPH 2 — Revenue Sources for 1994-95

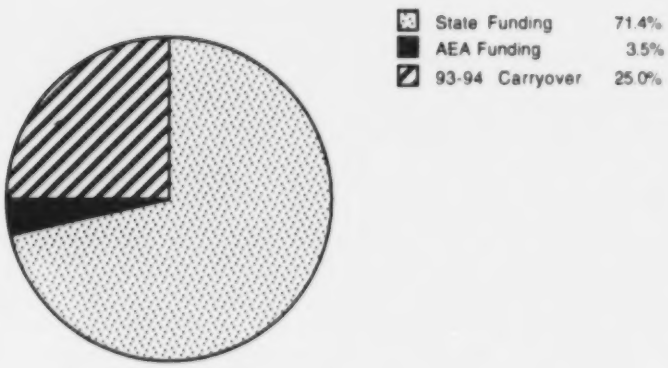


TABLE 3 — Phase III Budgeted Expenditures*

*Based on estimates prior to completion of the final report for 1993-94 to the Iowa Department of Education.

Expenditure	Cost
Contingency Funds	$50,000
School Improvement Funds**	1,115,341
Accountability Teams	52,255
Special Projects	58,454
Incentive Payments	369,968
Staff Development Instruction	77,458
Performance Stipends	0
Staff Development Staff	70,251
Developmental	93,935
Indirect Costs	111,276
Facilitator Training	103,559
Unallocated	82,053
Total	$2,184,550

**School Improvement Funds are allocated to schools for their use in the development and implementation of the SIP.

TABLE 4 — Human Resources for 1994-95

Phase III Office	FTE	Costs	Phase III Contribution
Phase III Coordinator	1.0	$41,094	$23,814
Secretarial Positions	1.5	19,632	19,632
Total	**2.5**	**60,726**	**43,446**
Staff Development			
Consultants	2.0	82,188	47,628
Secretary	1.0	14,952	14,952
Total	**3.0**	**97,140**	**62,580**
Total Human Resources	**5.5**	**$157,866**	**$106,026**

Materials and Equipment

The Phase III Office utilizes:

3	Desk computers	5	File cabinets
1	Laptop computer	2	Book shelves
3	Computer monitors	3	Desks
2	Computer desks	1	Printer stand
1	Small meeting table	5	Office chairs
3	Franklin planners	2	Plastic disc containers
3	Phones	2	Electric staplers
1	Small stand w/wheels	1	Locked, disc cupboard
2	Wall white boards (1 medium/1 large)	1	Mobile white board w/printing capabilities

The Department of Staff Development utilizes the following equipment purchased by Phase III:

1	Workgroup 80 Server	1	G.B.C. Punch and Bind Machine
3	Power Mac Computers	1	Laser Printer
1	Mac SE Computer	1	Laminator

Community Resources

New Iowa Schools Development Corporation

The Phase III Office has maintained contact and participated in cooperative efforts with the New Iowa Schools Development Corporation (NISDC). NISDC is a cooperative effort of several statewide educational groups and its mission is the improvement of Iowa Schools.

The Phase III Coordinator serves as an outside facilitator to one of the NISDC projects and participates in the NISDC Facilitator Network. He works cooperatively with the NISDC staff and their consultants and participates in their training activities. International consultant Peter Holly will be working with the district during the year. His services were arranged through NISDC.

PROCESS EVALUATION

School-Based Management through Shared Decision Making Demonstration Project

SBM/SDM Demonstration Project

During the 1990-1991 school year, Phase III formed a School-Based Management through Shared Decision Making (SBM/SDM) Developmental Team. The team was to investigate how Phase III might support the SBM/SDM initiative. The team completed its report on June 20, 1991, recommending implementation of a demonstration project in several schools, starting with the 1991-92 school year. The purpose of this demonstration project was school improvement through innovation at the school site.

This demonstration project was part of the district's efforts regarding SBM/SDM and was supported by Phase III funds and both Phase III and Staff Development Staffs.

This was a learning experience. Innovational learning comes from risk taking and experimentation. While the term "school improvement" was used in this project, the process supported efforts at either improvement or "transformation." Each school determined the scope of its efforts. Learnings from this project was considered by the Task Force to Explore a Comprehensive School Transformation Phase III Program.

Development of Comprehensive School Transformation Program

Originally a career ladder program

The Des Moines Public Schools Phase III Program was originally successful in focusing its activities toward professional growth of participants in the context of a program designed around performance-based and supplemental pay using a career ladder approach. Focus of the growth was based on the needs of the individual and support was provided through various activities in the Phase III program, especially the *Effective Teaching* staff development courses.

Change to comprehensive school transformation program

Recently, the types of Phase III plans allowed under the law have been expanded to include comprehensive school transformation (CST). A Phase III CST program would change the location of professional growth and activities from the district to the school, focusing efforts closer to students and their success. It also could increase the application and meaning of the activities for the participants by moving from theory to the practical application in their own schools and classrooms.

Comprehensive School Transformation Task Force

The district identified in the 1992-93 Phase III program the exploration of a comprehensive school transformation program as one of its activities. A Task Force to Explore a Comprehensive School Transformation Phase III Program was appointed. It consisted of leaders of the Phase III program, two associate superintendents, members of the Phase III Advisory Council and Administrative Advisors, additional appointees by the Des Moines Educational Association, the administration, two board members, and three community representatives.

The task force was assigned the responsibility "to investigate the possibility of establishing a Comprehensive School Transformation (CST) Phase III Program." Expected outcomes were:

- This investigation may result in a recommendation for a process to facilitate Comprehensive School Transformation in schools across the district. If it is recommended that the Phase III program place greater emphasis on Comprehensive School Transformation, strategies will be suggested to move from the current status of a combination performance-based and supplemental pay plan.

- A final report of the task force will be presented to the President of the Des Moines Educational Association and the Associate Superintendents for their consideration for inclusion in the collective bargaining process as appropriate.

Task Force recommended CST focus

The task force met first on October 19, 1992 and completed their work on March 15, 1993. They recommended that Phase III design a CST plan to complement current initiatives toward transforming schools in the district, in particular School-Based Management through Shared Decision-Making.

The current CST program called for the career ladder program of performance-based and supplemental pay to be replaced by the comprehensive school transformation program. The career ladder no longer exists and all staff eligible for participation in Phase III under state statute, have the opportunity to participate in this program. All funds must be expended in accordance with state law. Other staff such as administrators, associates, and non-employee stakeholders may be included as participants in activities, although they are not eligible to be paid or have their expenses reimbursed.

Replace the career ladder approach

Criteria for Recommendations

Recommendations developed for inclusion in both the original Phase III and the CST program were based upon consideration of the following criteria. Each recommendation was to:

- be professionally responsible;
- be acceptable to certificated employees and to the publics served;
- have an expectation of successful implementation;
- enhance the quality, effectiveness and performance of Des Moines' teachers by promoting teacher excellence, which will benefit students.

These criteria in the original 1987-88 plan continue to be used in program development and improvement.

School Improvement Funds Distribution

A rationale for development of a formula for school improvement fund distribution considers two points:

Formula rationale

1. The development of a school improvement plan requires a basic level of action and commitment at each school. The format of the plan for all schools is the same and the same school transformation facilitator training was available to all facilitator teams.

2. It is recognized that achieving improvement as a change activity is complex and challenging in all situations, but a larger staff increases the complexity and challenge.

Funds to support school improvement activities will be allocated as indicated as follows:

Formula

.5% of the funds are placed in a holding account to be used as adjustments for errors in the allocation of funds by incorrect estimations of FTE numbers.

49.75% of the funds will be allocated equally to each school.*

49.75% of the funds will be allocated to each school on the basis of the school's percentage of FTE staff as compared to the total FTE for the district.

* For the basis of this formula, the support staff assigned to central office will be considered a school. However, those funds will be held in reserve and a support staff allotment will be created for individuals assigned to central office. When support staff members align with a particular school, the allotment is removed from the reserve account and placed in the school.

School Improvement Facilitation Training

LEVEL I: Facilitating School Improvement

This training was similar to what was developed as part of the SBM/SDM Demonstration Project. Revisions were made based upon feedback from participants and the recommendations of the Phase III Developmental Committee on Facilitator Training. The training was available to all schools in six, four-day sessions offered between November 1993 and February 1994.

This initial training served as an introduction to the content of a school improvement plan and for processes that assist in its development. The processes should result in high commitment to the plan and should be applicable to other types of circumstances and situations.

Level I Content

The 30-hour training session focused on developing skills in:

- Effective Groups and Leaders
- Team Building
- Consensus Building
- Effective Schools Research for School Improvement Planning
- Creating a Shared Vision
- Facilitating the Change Process
- Developing a School Improvement Plan

LEVEL II: Leadership Skills for Implementing School Improvement

The Department of Staff Development provided Level II training during August 1994. The purpose of this training was to complement the Level I training and expand the capacity of staff members to serve in the role of a facilitator of school improvement. The audience was expanded to include vice-principals, deans of students, and administrative interns. The three-day training was led by internationally-known consultants Dr. Robert Garmston and Dr. Bruce Wellman.

Garmston and Wellman

The training focused on developing both professional capacities of the individual staff members as well as the capacity of the organization. To accomplish this capacity-building, staff members may utilize four roles: facilitating, presenting, coaching, and consulting.

Garmston and Wellman identified the five states of mind (holonomy) that school improvement facilitators can focus their efforts toward in capacity-building. The five states are: flexibility, consciousness, interdependence, craftsmanship, and efficacy.

They also identified seven norms of collaborative work:

- pausing
- paraphrasing
- probing
- putting ideas on the table
- paying attention to self and others
- presuming positive presuppositions
- pursuing a balance between advocacy and inquiry

Leadership and Administration

Director of Operations Management has administrative responsibility.

The Phase III program is under the joint supervision of Dr. Raymond Armstrong and Dr. Earl Bridgewater, Associate Superintendents. In the organizational structure, the Phase III Office is placed in the Management Services Division and Dr. Donald Prine, Director of Operations Management has the administrative responsibility for the program. One teacher, Mr. David Wilkinson, serves as the coordinator. Ms. Judy Clinton and Ms. Preshia Mills serve as the secretarial staff for the office.

The Phase III Office provides service for all of the current components of the program and coordinates activities with the Department of Staff Development.

This administrative structure that cuts across divisions is highly innovative. It encourages collaboration and communication because activities of the Phase III program supports almost all schools, departments, and divisions in the district.

Job Description

Phase III Coordinator: Serves as liaison between Associate Superintendent and district staff for all aspects of Phase III plan, including development, implementation, communication, documentation, and evaluation. Coordinates all Phase III planning activities, especially the efforts of developmental teams and task forces, and serves as an ex-officio member of all developmental groups. Also coordinates and develops the annual revisions of the program, prepares the Phase III budget, and provides an orientation to chairs and members of developmental groups. In addition, this position maintains contact with teachers, principals, other administrators, the Iowa Department of Education, and the Des Moines Education Association regarding Phase III. The Coordinator monitors staff concerns, serves as a liaison with the Phase III Advisory Committee, and monitors the progress of developmental groups.

Liaison between Associate Superintendent and district staff for all aspects of Phase III.

Role of the Accountability Team

Development of the Plan

The use of accountability teams is scheduled for district-wide implementation in 1994-95.

Initiate an on-going dialogue

The accountability team members will meet with the school or its planning team between January 1 and April 30, 1995 in order to initiate an on-going dialogue between the team and school.

The accountability team will respond (for the purpose of clarification) to the school's plan by:

a. Providing feedback on the process used to design the plan.
b. Providing feedback on the use of resources in developing the plan.
c. Providing feedback on the degree of focus on the vision and compatibility with the shared beliefs.

Reports of the Accountability Team

Based on information from the on-going dialogue, the accountability team will present an oral report and a brief written report (no more than three pages) to the school. In addition, copies of the written record will be sent to the Executive Director of Early Childhood and Elementary Programs or to the Executive Director of Middle and High School Programs, as well as to the Phase III Office.

Implementation of the Plan

During the second year of implementation (1995-96), the purpose is to observe the plan in operation and provide feedback.

Implementation Phase

All accountability team members will visit the school twice, including at least one visit as a team. Each accountability team chairperson will coordinate on-site visitations with the principal. The visitations should include classroom observations and open communication with all stakeholders including teachers, administrators, support staff, parents, students, and community members.

The principal will provide written communication regarding activities relevant to the school's plan to members of the accountability team. The chairperson for the accountability team will develop a working file to assist in developing reports.

The report will provide feedback to the school that identifies strengths of actions taken and concerns held by the team. Feedback should address the process used to develop, implement, and if appropriate, revise the plan.

Results Orientation

During the third year of implementation, the purpose of the accountability team is results oriented and will focus on outcomes. The report will review these outcomes and reflect whether evidence exists that proves the time and effort put into the implementation of the plan is making a difference in student achievement.

Goals and Objectives

Goals in annual application to Iowa Department of Education

The annual application to the Iowa Department of Education for Phase III funding requires that specific program objectives be included. For each program activity and/or activity, performance objectives are written that indicate the administrator responsible for the activity. For the 1994-95 program, 15 specific objectives were written and are being addressed. These objectives are listed below.

An update on objectives for previous years is listed in the product section of the report. For activities that have already taken place or if the deadline has passed, a brief update is included in parentheses.

1. To support comprehensive school transformation.

Objectives

1.1 The Supervisor of Staff Development will provide *Effective Schools/Teaching* courses so that at least 1,000 staff members successfully complete one course as documented by the list of successful participants on file in the Phase III Office, by June 30, 1995.

1.2 The Supervisor of Staff Development will implement Level II school improvement facilitation training for at least 250 staff members as documented by the copy of the training and a list of participants on file in the Phase III Office, by August 29, 1994.

(242 participants participated in the Garmston/ Wellman training in early August 1994)

1.3 The Phase III Advisory Council will continue to review and research literature for further development of this comprehensive school transformation plan as documented by meeting notes on file in the Phase III Office, by June 15, 1995.

1.4 The Phase III Coordinator will provide leadership to a joint effort of the Advisory Council and Administrative Advisors that results in a revised purpose and membership of the Council as documented by the purpose and membership list of file in the Phase III Office by September 1, 1994.

(The Advisory Council has devoted two full meetings to this topic and will complete the task later this fall.)

1.5 The Phase III Coordinator will provide leadership to a process that results in a plan to improve communications regarding Phase III as documented by the plan on file in the Phase III Office by August 19, 1994.

(The Phase III Office is publishing a monthly **Newsletter for School Improvement**; is developing an **Implementing Financial Procedures** packet for administrators and secretaries, a **School Improvement Resource Handbook**, and will use the **Bulletin** as necessary.)

1.6 The Supervisor of Staff Development and the Phase III Coordinator will provide leadership to a process that results in the development of additional support to school improvement facilitation training as documented by activities listed in the Staff Development 1994-95 Handbook on file in the Phase III Office by August 29, 1994.

(Many activities are already planned and listed in the Handbook.)

1.7 The Phase III Coordinator, in consultation with the Administrative Advisors, will develop a School Improvement/Transformation Resource Book as documented by a copy on file in the Phase III Office by August 19, 1994.

(Presently in process)

1.8 The Phase III Coordinator will provide leadership to a process that results in a revised Framework for Effective Teaching, second edition, as documented by a copy on file in the Phase III Office by June 30, 1995.

1.9 The Supervisor of Staff Development in consultation with the Advisory Council and Administrative Advisors will develop demonstration projects relating to effective staff development practices in technology and other areas as documented by the project description on file in the Phase III Office by December 31, 1994 and a report of the project on file by June 30, 1995.

1.10 The Phase III Coordinator, in consultation with the Advisory Council and Administrative Advisors will develop a demonstration project utilizing the concepts of peer coaching to support implementation of school improvement plans as documented by the project description on file in the Phase III Office by December 31, 1994 and a report of the demonstration project on file by June 30, 1995.

2. To increase student success and learning.

Objectives

2.1 The principal of each school will facilitate implementation and continued development as needed of a long-range, comprehensive school transformation plan as documented by reports on file in the office of the appropriate Executive Director, by June 15, 1995.

2.2 The principal of each school, using a collaborative process and in accordance with established guidelines of shared decision making will develop and implement a building Phase III budget to support the implementation of a long-range, comprehensive school improvement plan as documented by the Phase III expenditures for each school on file in the Phase III Office, by June 30, 1995.

2.3 The Phase III Coordinator will ensure that each school in the district will be visited by an accountability team as documented by the report of the team on file in the Phase III Office, by June 15, 1995.

2.4 The Supervisor of Staff Development and the Director of Human Resource Management will include information on effective schools, teaching, and support services and the school improvement process into the induction of new staff as documented by a description on file in the Phase III Office by August 19, 1994.

(Will be completed in time for 1995 induction)

3. To evaluate the qualities and effectiveness of various aspects of this plan.

3.1 The Phase III Coordinator will implement an evaluation design to determine the degree to which this comprehensive school transformation plan and process contributes to additional student success and learning as documented by the design on file in the Phase III Office, by July 15, 1995.

(Will be completed by January 1, 1995)

Influence of Technology

The use of computers has allowed the department to maintain complex financial records, to personalize information and mailings, and to complete reports and written projects with a minimum of secretarial support.

PRODUCT EVALUATION

Contributing to the Mission of the District

Phase III has always focused on actions that will ultimately benefit students. For the first six years, the emphasis was on individual staff members and their professional growth. It was always the assumption that efforts to support the professional growth and efforts of the staff would eventually result in students being better served.

For the last two years, the focus has been on building the capacity of both professional staff and the school organization to better meet the needs of students. The focus on students has increased.

Phase III has become an integrated district program that supports the school improvement process as conceptually described in the School-Based Management through Shared Decision Making Initiative.

Phase III supports the school improvement process by:

- supporting the use of research, theory, and expert opinion.
- focusing on information in the school information base (database) as the basis for school improvement planning.
- supporting efforts to build professional and organizational capacity.
- collaborating with the Des Moines Education Association in planning elements of the Phase III program and subsequently negotiating agreements in the comprehensive agreement.
- gathering evaluative data to determine effectiveness of efforts.

Communications

An on-going challenge

One of the on-going challenges to the program is to communicate accurately and thoroughly with members of our staff interested and affected by Phase III activities. This staff is spread out over 65 locations and exhibit a variety of concerns and interests. In order to provide the information, different communication means have been utilized:

A timely newsletter

- Administrative and secretarial information is distributed annually.
- A Phase III Report column is included in the district's bi-weekly **Bulletin** as appropriate.
- A **Newsletter for School Improvement** is distributed monthly to all Phase III leaders, administrators, school improvement facilitators, and others.

Staff Participation

One of the goals of the Phase III program is to encourage high levels of participation by eligible staff by creating a program that is attractive and meets the needs of both the staff and the district. Below is a summary of the participation of staff over the past six years:

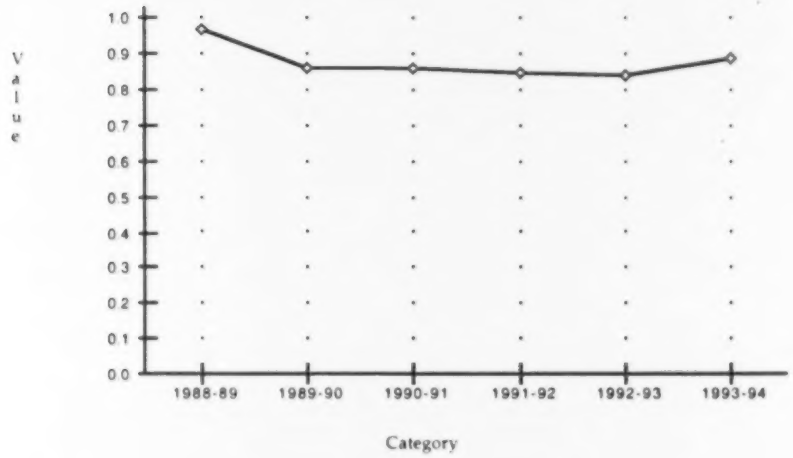
TABLE 5 — Staff Participation in Phase III

Year	Number of Eligible Staff	Total Participants	Percent of Participation	Total Spending
1987-88*	N/A	N/A	N/A	$399,463
1988-89	2,236	2,169	97%	$4,113,141
1989-90	2,079	1,781	86%	$2,637,944
1990-91	2,183	1,880	86%	$2,662,785
1991-92	2,303	1,964	85%	$2,591,438
1992-93	2,327	1,953	84%	$2,190,600
1993-94	2,296	2,036	89%	$1,387,955

*During the first year of the program, fewer records regarding participation were kept and some program areas were not implemented.

The graph below illustrates the district's staff participation in Phase III. The values indicate the percentage of participation.

GRAPH 3 — Staff Participation in Phase III 1987-1994



In the career ladder years of the program (1987-93), participation levels became quite predictable. With the change of the Phase III program to comprehensive school transformation and the school improvement process, we did not have trend data to use to make participation estimates for the future.

Accomplishment of Goals and Objectives

As part of the annual report on Phase III to the Iowa Department of Education, progress on each objective for that year is reported and then the overall progress is tabulated and summarized. Over the seven years of the program, 75 percent of the objectives have been fully attained. During 1993-94, 71.4 percent were fully attained.

TABLE 6 — Summary of Degree To Which Objectives Were Met

Years	87-88	88-89	89-90	90-91	91-92	92-93	93-94
Total Number of Objectives	27	26	23	23	31	25	14
Objectives fully attained	15	20	20	19	23	15	10
Objectives partially attained	1	1	0	1	5	0	2
Objectives not attained	0	0	1	1	3	8	0
Objectives in progress, on schedule	11	2	0	2	0	0	0
Objectives revised, on schedule	0	3	1	0	0	2	0
Objectives revised, schedule revised	0	0	1	0	0	0	2

A full report on the objectives is available in the Final Report that the Phase III Office files annually with the Iowa Department of Education.

Frameworks

Frameworks distributed nationally

Copies of the Frameworks have been distributed at numerous workshops throughout the state. More than 190 copies of the Frameworks have been sent in response to written requests received from Canada, Mexico, and 21 states. Many other copies have been distributed at conferences and workshops in the state and some nationally. Desk blotters have been printed containing the *Framework for Effective Teaching* or the *Framework for Effective Support Services* and were distributed to staff.

Frameworks are best in the U.S.

Dr. Thomas McGreal, a nationally recognized speaker, consultant and professor of Educational Administration at the University of Illinois, has continued to praise the Frameworks as the best in the country and maintains that the Des Moines Frameworks are a model for other districts.

School Improvement Process Survey Results

In May 1994, a survey was distributed to all certificated staff assigned to schools. Of 2,301 sent, 902 were returned and compiled. This survey represents the perception of teachers and building administrators about the school improvement planning process. The full results are available through the Phase III Office. A summary of the key responses are listed below.

- 86.8% of the staff agreed they have had the opportunity to participate as fully as they desired in the school improvement planning process. *High participation*
- 83.1% agreed that information regarding the school improvement planning process is openly shared. *Open information*
- 51.4% of the staff agreed that sufficient time is available for collaboration at this school. *Not enough time*
- 65% of the staff indicated that they are knowledgeable about the information in their school's database (school information base).
- 88.8% of the staff stated their school has a vision for its future. *School visions*
- 84.5% indicated they support the vision of their school.
- 83.8% of the staff stated their school has a clear statement of shared beliefs. *Shared beliefs*
- 85.3% of the staff support their school's statement of shared beliefs.
- 81.4% of the staff support their school's improvement plan. *Strong support*
- 60.3% of the staff agreed that the School-Based Council plays a constructive role in the school improvement planning process.
- 68.9% of the staff agreed that the school improvement process has been truly collaborative.

- When asked questions that indicated whether or not shared decision making was supported by different job classifications, the results (in percent of responses) were as follows:

	Don't Know	Strongly Agree	Agree	Disagree	Strongly Disagree
Principals	2.6	43.3	35.9	10.2	6.0
Teachers	4.9	32.8	48.2	9.9	2.2
Central Office	27.8	12.2	34.1	16.4	6.9

Enough Central Office support?

- 63.7% of the staff indicated the school improvement process makes a difference for students at this school.

- 68.2% of the staff agreed that, at their school, staff members work collaboratively with the principal to determine the use of Phase III funds.

- 62.4% said they support the way Phase III funds are used for school improvement activities in their school. *Support use of Phase III funds*

- Only 45.9% indicated that the required paperwork in the school improvement process is appropriate.

- 74.2% stated they had examined their professional beliefs and practices as a result of the school improvement process. *Examine personal practices*

- 67.3% agreed with the statement: I am improving my professional practices as a result of participation in the school improvement process. *Improving professional practices*

- 71.9% stated their school benefits from the school improvement process. *School benefits*

- 83.8% of staff supports the school improvement process.

- 53.5% indicated satisfaction with the current Phase III program. *Limited satisfaction*

Use of School Improvement Funds

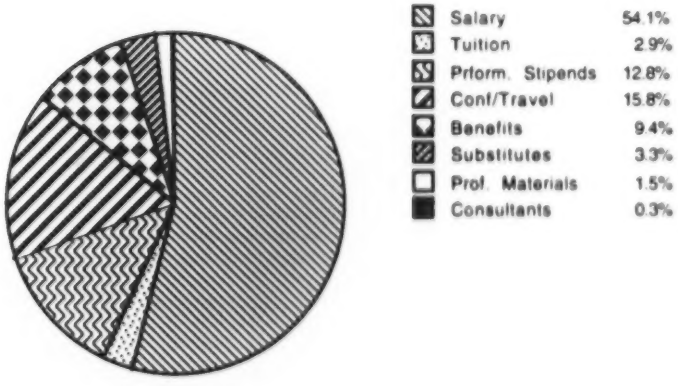
Each school receives Phase III School Improvement funds. Below is a summary of how these decentralized funds were used in 1993-94.

TABLE 7 — School Improvement Fund Expenditures

Expenditure	Amount
Salary	$332,291
Tuition	17,729
Performance Stipends (329 employees)	78,313
Conference/Travel	96,954
Benefits	57,717
Substitutes	20,124
Professional Materials	9,102
Consultants	1,589
TOTAL	$613,819

These expenditures are illustrated in the graph below:

GRAPH 4 — School Improvement Process Expenditures



Observations of the Phase III Coordinator

The Phase III Program has served a useful role in bringing together the leadership of the Des Moines Education Association and the district administration to create ways that not only benefit staff, but have the potential for benefiting students.

Collaboration and cooperation between the divisions of Teaching and Learning, Business and Financial Services, and Management Services has been high and continues to improve.

The change from a combination plan of performance-based and supplemental pay to comprehensive school transformation has been challenging. The transition seems to have gone smoothly. From the school improvement survey, great support is found for the school improvement process and limited support for the current Phase III program. While some see them synthesized, others clearly do not.

Strengths

The program has several strengths:

- Creating a strong positive working-relationship with leadership of the Des Moines Education Association.
- Establishing a history of using pilot or demonstration projects to attempt new ideas and processes. Insights gleaned from these efforts have been built into programs.
- Bringing together diverse programs or district initiatives and synthesizing them to focus on students.
- Developing the various Frameworks and their use in the district.
- Coordinating the efforts of a diverse cadre of district stakeholders in planning Phase III efforts.

Areas of Improvement

The challenge of communication to a very large and diverse group of staff is difficult. Forecasting the use of funds, many of which are decentralized, makes the budgeting process a challenge. Therefore, continued improvement in the area of budget forecasting and reducing carryover is desired.

Status of Future Needs Identified in 1992 Report

Full Funding and Participation

Phase III funding has not been restored to its original amount and the law has not been expanded to include other district employees. The district has included Phase III funding as a legislative priority during recent sessions. In 1993-94, there was an increase in the percentage of eligible staff who received Phase III funds.

Full funding not achieved

Focus on Comprehensive School Transformation

Phase III has evolved into a comprehensive school transformation program and the school improvement is its focus.

Program changes made

Continue Program Evaluation Efforts

Efforts have been made to evaluate the effectiveness of the Phase III program such as district-wide surveys and special Phase III project surveys. The results from the recent school improvement process survey are included in this report.

Positive survey results

Support for the New Teacher

During this year, strategies will be developed to enhance the induction and orientation process by focusing on school improvement process and the Frameworks.

Continue to Improve Communications

A monthly **Newsletter for School Improvement** is published to all leaders of the school improvement process. A network of school improvement leaders has been established and relevant information is shared.

Monthly newsletter and network established

Space Needs for the Phase III Office

A conference room was converted into space for the Phase III staff to help facilitate better service to district staff.

FUTURE PLANNING

Phase III will continue to serve a role of research and development in the areas of professional and organizational capacity building. The program will bring together district and association leadership in planning this capacity building. It will have the full support of district staff and will provide quality and profitable experiences to staff. There is no additional cost to the district for these needs as they will be accomplished by the rearrangement of Phase III funds.

Future Needs

- Continue the focus on school improvement/transformation.
- Phase III leadership groups such as.the Phase III Advisory Council will continue to practice the concepts of shared decision making. The council should deepen its understanding of collaborative processes as it becomes a learning community. It will disseminate its learnings to others.
- Phase III will continue to support capacity building in the area of professional development and also build capacity for organizational development.
- Phase III will continue to be integrated and supportive of district initiatives. The institutionalization of Phase III should allow a solid alignment of Phase III and district initiatives.
- The Phase III program will continue to investigate and research best practices in the area of school improvement/transformation. The program should be aware of all successful practices in this area and be a broker of information to others.
- The Phase III program will support efforts of the district to share stories of success related to programming supported by Phase III. Communication about what is successful and what has been learned needs to be shared among district schools.
- The Phase III program will develop a thorough evaluation of its efforts and the effect they have on schools and students.